PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Andreas BRUNNER, et al

Serial No.: 10/517,756

Group No.:

Filed: December 13, 2004

Examiner.:

For: IDENTIFICATION OF TISSUE/CELL SPECIFIC MARKER GENES AND USE

THEREOF

Attorney Docket No.: U 015531-8

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

RESPONSE TO REQUEST FOR SEQUENCE LISTING

The Notification of Missing Requirements states that the application fails to comply with the Sequence Listing requirements of 37 CFR 1.821-1.825, but respectfully fails to explain

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10* (When using Express Mail, the Express Mail label number is mandatory; Express Mail certification is optional.) I hereby certify that, on the date shown below, this correspondence is being: **MAILING** deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P. \boxtimes O. Box 1450, Alexandria, VA 22313-1450. 37 C.F.R. 1.10* 37 C.F.R. 1.8(a) \bowtie with sufficient postage as first class mail. as "Express Mail Post Office to Address" Mailing Label No. EV 480460809 US (mandatory) TRANSMISSION transmitted by facsimile to the Patent and Trademark Office to (708) 872-9306) Date: August 2, 2005 Signature **GERALDINE MARTI**

*WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

(type or print name of person certifying)

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at

why. Pursuant to the provisions of 37 CFR 1.821, nucleotide and/or amino acid sequences are interpreted to mean an unbranched sequence of four or more amino acids or an unbranched sequence of ten or more nucleotides. The Notification has not pointed to any such sequences in the present application.

It is respectfully submitted that the requirement in the Notification for a Sequence listing is in error and should be withdrawn.

Respectfully submitted,

CLIFFORD J. MASS LADAS & PARRY LLP 26 WEST 61ST STREET

NEW YORK, NEW YORK 10023 REG. NO.30,086(212)708-1890

JC10 Rec'd PCT/PTO 02 AUG 2005

Practitioner's Docket No. <u>U 015531-8</u>

IN THE UNITED STATES DESIGNATED OFFICE (DO/US)

PCT/CH03/00379

12 JUNE 2003

14 JUNE 2002

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

IDENTIFICATION OF TISSUE/CELL SPECIFIC MARKER GENES AND USE THEREOF TITLE OF INVENTION

1. ANDREAS BRUNNER, 2. RUPERT HAGG, 3. ROBERTO TOMMASINI APPLICANT(S) FOR DO/US

Mail Stop PCT Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

ATTENTION: DO/US

COMPLETION OF FILING REQUIREMENTS FOR INTERNATIONAL APPLICATION ENTERING NATIONAL STAGE IN U.S. DESIGNATED OFFICE (DO/US) UNDER 35 U.S.C. 371

(check and complete the following item, if applicable)

[X] This replies to the Notice of Missing Requirements under 35 U.S.C. § 371 and 37 C.F.R. 1.494 (FORM PCT/DO/EO/905).
[X] A copy of FORM PCT/DO/EO/905 accompanies this response.

WARNING:

Where the items being submitted to complete the entry of the international application into the national phase are subsequent to 20 months from the priority date, the application is still considered to be in the international stage. If mailing procedures are utilized to obtain a date, the express mail procedure of 37 CFR 1.10 must be used (because international application papers are not covered by an ordinary certificate of mailing. 37 CFR 1.8(2)(xi).

NOTE: Documents and fees must be clearly identified as a submission to enter the national stage under 35 USC 371.

Otherwise, the submission will be considered as being made under 35 USC 111. 37 CFR 1.494(f).

CERTIFICATION UNDER 37 C.F.R. 1.10*

(Express Mail label number is mandatory.)
(Express Mail certification is optional.)

I hereby certify that this Completion of Filing Requirements and the papers indicated as being transmitted therewith is being deposited with the United States Postal Service on this date <u>August 2, 2005</u>, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number <u>EV 480460809 US</u>, addressed to the: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

GERALDINE MARTI

(type or print name of person mailing paper

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used

		[]	not satisfied—\$100.00; small entity—\$50.00	s \$	<u> </u>	
		[]	Search and Exam fee with U.S. WO or IPER condition satisfied—\$0.00	s \$		
		[]	Spec and drawing, each 50 pages over 100 37 C.F.R. 1.16(s)—\$250.00	\$	S	
		[x]	Each independent claim in excess of 3 (37 CFR 1.492 \$200.00; Small entity—\$100.00)	\$	200	
		[x]	Each claim in excess of 20 (37 CFR 1.492 - \$50.00; small entity—\$25.00)	\$	8.850	
		[]	Multiple dependent claim(s) (37 CFR 1.492 - \$360.00; small entity—\$180.00)	\$		
	2.	Surcha	rge fees			
		[x]	Surcharge set forth in § 1.492(e), for accepting the declaration later than 30 months after the priority date in filing an application in the U.S. pursuant to § 1.495(c)—\$130.00; small entity—\$65.00		S_130	
	NOTE:	The proc	essing fee in the next item (Number 3) below is not subject to a reduct	tion for smal	ll entity sta	tus.
08/08/2005 LL	3.	[]	Processing fee set forth in § 1.492(f), for acceptance of an English translation later than 30 months after the priority date—\$130.00	. \$	S	
01 FC:1614 02 FC:1615			200.00 OP 850.00 OP	Total fee	s \$	1180
03 FC:1617			SMALL ENTITY STATUS			
	IV.	A state	ment that this filing is by a small entity			
	NOTE:	See 37 C	FR 1.28(a). (check and complete applicable items)			
		a.	[] is attached. [] was filed on (original). [] was made by paying a small-entity basic national file.	iling fee		
	WARNI	NG:	"Small entity status must not be established unless the person or punequivocally make the required self-certification." M.P.E.P. Secti (emphasis added).			
		b.	[] A separate refund request accompanies this paper.			

to obtain a date of mailing or transmission for this correspondence.

*WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

DECLARATION OR OATH

NOTE: 37 C.F.R. § 1.495(c): "If applicant complies with paragraph (b) of this section before expiration of thirty months from the priority date but omits . . . the oath or declaration of the inventor (35 U.S.C. 371(c)(4) and § 1.497), if a declaration of inventorship in compliance with § 1.497 has not been previously submitted in the international application under PCT Rule 4.17(iv) within the time limits provided for in PCT Rule 26ter.1, applicant will be so notified and given a period of time within which to file the . . . oath or declaration in order to prevent abandonment of the application The payment of the surcharge set forth in § 1.492(e) is required for acceptance of the oath or declaration of the inventor later than the expiration of thirty months after the priority date."

I. (a) [X] No original declaration or oath was filed. Enclosed is the original declaration or oath for this application.

OR

(b) [] The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date, complete item IV(2).

NOTE: Acceptable minimums in the declaration in an ordinarily filed U.S. application for identification of the specification to which it applies are:

- (A) application number (consisting of the series code and the serial number, e.g., 08/123,456);
- (B) serial number and filing date;
- (C) attorney docket number which was on the specification as filed;
- (D) title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or
- (E) title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number, e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration.

M.P.E.P. § 602, 8th ed.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 CFR 1.10(c).

NOTE: 37 CFR 1.41(a) points out that "Full names must be stated, including the family name and at least one given name without abbreviation together with any other given name or initial."

(complete as applicable)

Attach	ed is a		(comprete us applicable)	
	(a) [] Statement by practitioner that papers attached to declaration are a copy of those filed in PTO to get a filing date			
	(b) [] Statement that substitute specification contains no new matter.			v matter.
	(c)	[]	Preliminary Amendment	
	(d)	[X]	Response to request for submission of "Sequence List copy, and/or amendment pertaining thereto for biotech containing nucleotide and/or amino acid sequence	
			TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS	
NOTE:	the prior original within v process thirty m	rity date b lly filed in vhich to f ing fee sei onths afte	9(c): "If applicant complies with paragraph (b) of this section before expirit omits a translation of the international application, as filed, into the another language (35 U.S.C. 371(c)(2)) applicant will be so notified life the translation in order to prevent abandonment of the applitation in § 1.492(f) is required for acceptance of an English translation or the priority date A 'Sequence Listing' need not be translated if the 2.1(d) and the description complies with PCT Rule 5.2(b)."	e English language, if it was d and given a period of time cation. The payment of the later than the expiration of
II.	[]	applic	itted herewith, is a English translation of the non-English ration papers as originally filed. It is requested that this traffer examination purposes in the PTO. (See 37 CFR 1.49)	nslation be used as the
NOTE:	For fee for processing a non-English application, and submission of an English translation later than 30 months after the priority date, complete item IV(3) below.			
NOTE:	: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 CFR § 1.69(b).			
			FEES	
III.			•	
NOTE:	See 37 (CFR § 1	28(a).	
1.	Fees f	or searc	th, exam or claims	
	[]		U.S. Search Report filed —\$400.00; entity—\$200.00	\$
	[]	No Se	earch Report —\$500.00; small entity —\$250.00	\$
	[]	Exam	Fee not paid to U. S—\$200.00; small entity—\$100.00	\$

EXTENSION OF TIME

(complete (a) or (b), as applicable)

V.

NOTE: 37 C.F.R. § 1.704(b) "... an applicant shall be deemed to have failed to engage in reasonable efforts to conclude processing or examination of an application for the cumulative total of any periods of time in excess of three months that are taken to reply to any notice or action by the Office making any rejection, objection, argument, or other request, measuring such three-months period from the date the notice or action was mailed or given to the applicant, in which case the period of adjustment set forth in § 1.703 shall be reduced by the number of days, if any, beginning on the day after the date that is three months after the date of mailing or transmission of the Office communication notifying the applicant of the rejection, objection, argument, or other request and ending on the date the reply was filed. The period, or shortened statutory period, for reply that is set in the Office action or notice has no effect on the three-month period set forth in this paragraph."

The proceedings herein are for a patent application. The provisions of 37 C.F.R. § 1.1 36(a) apply.

(a) [] Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked out below:

	Extension (months)	Fee for other than small entity	Fee for small entity	
[]	one month	\$ 120.00	\$ 60.00	
[]	two months	\$ 450.00	\$ 225.00	
[]	three months	\$ 1,020.00	\$ 510.00	
[]	four months	\$ 1,590.00	\$ 795.00	

NOTE: The 2-month time period for reply to A Notice to File Missing Parts of an Application is not identified on the Notice as a statutory period subject to 35 U.S.C. 133. Thus, extensions of time of up to 5 months under 37 CFR 1.136(a), followed by additional time under 37 CFR 1.136(b), when appropriate, are permitted. MPEP 710.02(d)(c), 8th ed.

[] five months \$ 2,160.00 \$ 1,080.00

Fee \$_____

If an additional extension of time is required, please consider this a petition therefore.

(check and complete the next item, if applicable)

An extension for	_ months has already been secured. The fee paid therefor of
is deducted from the to	otal fee due for the total months of extension now requested.
Extension fee due with this reques	st \$

or

(b) [x] Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VI. Th	e total	fee due is:		
		Completion fee(s) Extension fee (if any)	\$_ <u>1180</u>	
		TOTAL FEE DUE	\$ <u>1180</u>	
****		PAYM	MENT OF FEES	
VII.		[x] Enclosed is a check in the Charge Account No. 12-0 A duplicate of this request is	425 in the amount of \$	
VIII.		AUTHORIZATION TO	CHARGE ADDITIONAL FEES	
WARN	ING:	Accurately count claims, especially r	nultiple dependent claims, to avoid unexpected high charges.	
NOTE:	requiring for extended or all respondence or future of the fe	ig a petition for an extension of time und nsion of time for the appropriate length quired extension of time fees will be trea e reply requiring a petition for an extens e set forth in § 1.17(a) will also be treat	lication that is an authorization to treat any concurrent or future reply, ler this paragraph for its timely submission, as incorporating a petition of time. An authorization to charge all required fees, fees under § 1.17, sted as a constructive petition for an extension of time in any concurrent sion of time under this paragraph for its timely submission. Submission ed as a constructive petition for an extension of time in any concurrent the under this paragraph for its timely submission." 37 CFR 1.136(a)(3).	
NOTE:	will the		be returned unless specifically requested within a reasonable time, nor unts over twenty-five dollars may be returned by check or, if requested, a).	
	[X]	The Commissioner is hereby a be required by this paper, and one No. 12-0425.	uthorized to charge the following additional fees that may during the entire pendency of this application, to Account	
	[X] []	37 C.F.R. 1.492(a), (b) or (c) 37 C.F.R. 1.492 (presentation		
NOTE:	Because additional fees for excess or multiple dependent claims not paid on filing, or on later presentation, must only be paid, or these claims canceled by amendment prior to the expiration of the time period set for response by the PTC in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees except possibly when dealing with amendments after final action.			
	[X] [X] [X]	37 C.F.R. 1.17 (application p	ages over 100 37 C.F.R. 1.16(s) rocessing fees) nsion fees pursuant to § 1.136(a).	
WARNII	NG:	be made only with the knowledge that	deal with extensions of time under § 1.136(a), this authorization should t: "Submission of the appropriate extension fee under 37 CFR 1.136(a) on for extension is filed." (Emphasis added). Notice of November 5, 1985	

NOTE: Section 1.311(b) provides that an authorization to charge the issue fee (§ 1.18) to a deposit account may be filed in an individual application only after the mailing of the notice of allowance. Accordingly, general authorizations to any fees and specific authorizations to pay the issue fee that are filed prior to the mailing of a notice of allowance will generally not be treated as requesting payment of the issue fee and will not be given effect to act as a reply to the notice of allowance. Applicant, when paying the issue fee, should submit a new authorization to charge fees, such as by completing box 6b on the current PTOL 85-B form. Where no reply to the notice of allowance is received, the application will stand abandoned notwithstanding the presence of general authorizations to pay fees or a specific authorization to pay the issue fee that were submitted prior to mailing of the notice of allowance. Where an attempt is made to pay the issue fee but an incorrect amount is submitted, § 1,311(b)(1), or where the Office's issue fee transmittal form (currently PTOL-85(B)) is completed by applicant ans submitted, § 1.311(b)(2), in reply to a notice of allowance, an exception will be made. Such submissions will operate as a request to charge the issue fee to any deposit account identified in a previously filed (i.e., submitted prior to the mailing of the notice of allowance) authorization to charge fees, and will be allowed to act as payment of the correct issue fee. § 1.311(b). See also the change to § 1.26(b), Notice of September 8, 2000, Fed. Reg. 54603-54683, at 54646 and 54647.

NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity

[] 37 C.F.R. 1.492(e) and (f) (surcharge fees for filing the declaration and/or an English translation of an international application later than 30 months from the earliest claimed priority date)

WARNING:

It is suggested that you always check this last authorization.

[X] Refund any overpayment to deposit account 12-0425

Reg. No. 30086

Tel. No.: (212) 708-1890

signatúre, of practitioner

LÉLIFFORD J. MASS

(type for print name of practitioner)

P.O. Address

c/o Ladas & Parry LLP 26 West 61st Street New York, N.Y. 10023

Customer No.:

00140

PATENT TRADEMARK OFFICE



United States Patent and Trademark Offic

Page 1 of 3

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450 www.uspto.gov

U.S. APPLICATION NUMBER NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

10/517,756

Andreas Brunner

U 015531-8

INTERNATIONAL APPLICATION NO. PCT/CH03/00379

I.A. FILING DATE

PRIORITY DATE

06/12/2003

06/14/2002

00140 LADAS & PARRY 26 WEST 61ST STREET NEW YORK, NY 10023



CONFIRMATION NO. 1331 371 FORMALITIES LETTER *OC000000016241712*

Date Mailed: 06/09/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 12/13/2004
- Copy of the International Search Report filed on 12/13/2004
- Preliminary Amendments filed on 12/13/2004
- Information Disclosure Statements filed on 12/13/2004
- Request for Immediate Examination filed on 12/13/2004
- U.S. Basic National Fees filed on 12/13/2004
- Priority Documents filed on 12/13/2004

The applicant needs to satisfy supplemental fees problems indicated below.

The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of \$1050 as a non-small entity, including any required multiple dependent claim fee. are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR 1.492(e)) is required.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$1180 for a Large Entity:

- \$130 Late oath or declaration Surcharge.
 - This application clearly fails to comply with the requirements of 37 CFR. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.
 - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.
- Total additional claim fee(s) for this application is \$ 1050
 - \$200 for 1 independent claims over 3.
 - \$850 for 17 total claims over 20.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice **MUST** be returned with the response.

Telephone: (703) 308-9140 EXT 225

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY, DOCKET NO.	
10/517,756	PCT/CH03/00379	U 015531-8	

FORM PCT/DO/EO/905 (371 Formalities Notice)

,